

California Business Connect Project: Change Control Plan

California
Secretary of State



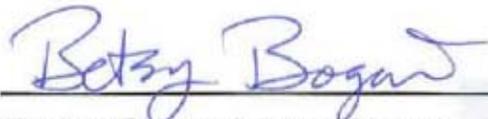
freely *Liberty*
defending *common good*
Speak
assemble
All People
representatives

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Version Control

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04/23/2012	0.01	Initial Draft	Jim Boyle
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Approval Signatures:



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Date



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Table of Contents

Version Control	2
Table of Contents	2
1. Introduction.....	4
1.1 Guiding Principles.....	4
1.2 What is Change Control?	4
1.3 Scope	4
1.4 Standards	5
1.5 Assumptions.....	5
1.6 Document Control.....	5
2. Change Control Process.....	5
2.1 What is Subject to the Change Control Process?	5
2.2 What are the differences between Change Control, Configuration Management and Change Management?	5
2.3 Approval Authority	6
2.4 Change Control Board Meeting and Voting.....	6
2.5 Change Control Process Flow.....	6
3. Change Control Tools.....	9
4. Roles and Responsibilities	9
4.1 Requestor	9
4.2 Secretary Of State Project Manager.....	9
4.3 Change Control Board.....	9
4.4 System Integration Contractor Project Manager	10
4.5 Persons Responsible for Analysis	10
4.6 Secretary Of State Project Director	10
Appendix A – Change Request Form	11
Appendix B – Definitions.....	14

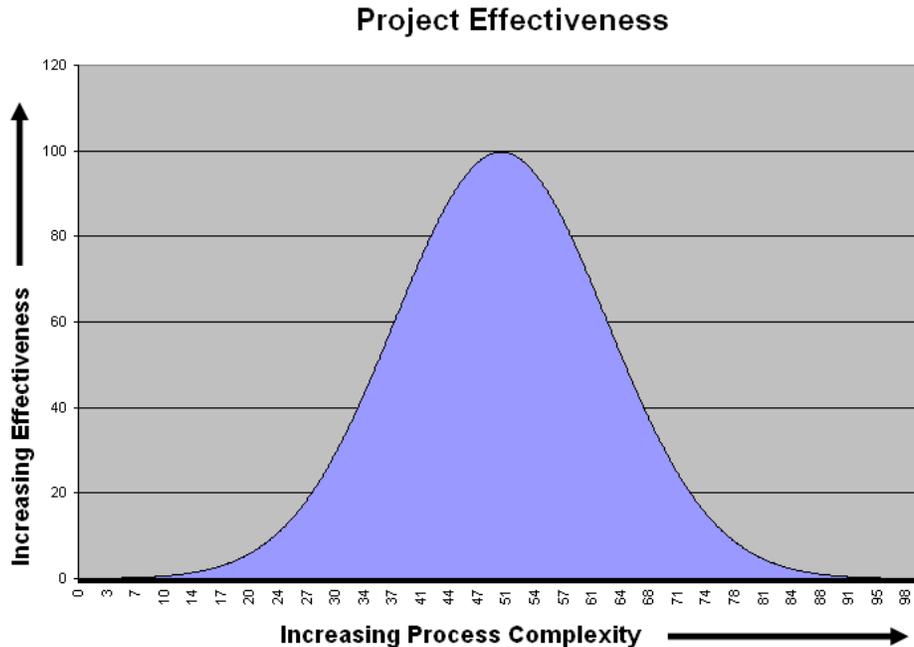
1. Introduction

This Change Control Plan presents the integrated California Business Connect Project change control activities, processes, and tools applied by the System Integration Contractor and Secretary of State on the California Business Connect project.

1.1 Guiding Principles

The Change Control Plan is based on two guiding principles:

- The Project Managers (Secretary of State and Contractor) have a commitment to executing sound project management processes as the foundation for achieving the California Business Connect Project objectives.
- The Project Managers recognize the responsibility to streamline the processes, and find the “happy medium” between too much process complexity and not enough process definition (see heuristic chart below). If no process is defined or followed, no project progress is made; if too much process complexity is blindly followed, no project progress is made. Somewhere in the middle of this heuristic chart is where the project team should be.



1.2 What is Change Control?

Change Control addresses change requests that affect scope, schedule or resources (budget as well as staff). According to the Project Management Body of Knowledge (PMBOK) Section 4.5, “Integrated change control is the process of reviewing all change requests, approving changes and managing changes to the deliverables, organizational process assets, project documents and the project management plan.”

1.3 Scope

This Change Control Plan defines an integrated change control management process that will be applied by the System Integration Contractor and Secretary of State. From the System Integration Contractor perspective, this plan defines the processes related to managing the changes related to the design, implementation and deployment of the California Business Connect Solution. From the Secretary of State perspective, this plan

defines the activities and processes related to managing the changes for the entire California Business Connect Project.

1.4 Standards

The Secretary Of State has adopted the California Project Management Methodology (CA-PMM) as its standard, as described in Section 17 of the Statewide Information Management Manual, March 2011. The methodology also reflects industry-standard processes described in the Project Management Institute's PMBOK. The change control processes described in this Change Control Plan are based on the PMBOK, 4th Edition, Project Integration Management Knowledge Area (Chapter 4), Perform Integrated Change Control (Section 4.5).

1.5 Assumptions

This Change Control Plan was developed with the following assumptions:

- The Secretary Of State project team and the System Integration Contractor agree that this Change Control Plan is the single plan that documents the change control process applied by both the System Integration Contractor and Secretary Of State on the California Business Connect Project.
- The System Integration Contractor and Secretary Of State understand that change control requires compliance with change control processes by all members of the California Business Connect Project team.

1.6 Document Control

This Change Control Plan will be reviewed and updated as required throughout the project lifecycle.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

The Change Control Plan will be stored on the project share drive and available to the project team, the Independent Project Oversight Consultant (IPOC), Independent Verification and Validation (IV&V) vendor, and Secretary Of State senior management.

2. Change Control Process

This section documents the change control process to manage a change request from initiation through implementation or rejection. The process is presented as a cross functional flowchart (also known as a swim-lane diagram) in Section 2.5.1 and a text description in Section 2.5.1.

2.1 What is Subject to the Change Control Process?

Any item that could affect project scope, schedule or resources (budget or staff time) is subject to the Change Control Process.

2.2 What are the differences between Change Control, Configuration Management and Change Management?

Since the industry does not have a standard definition of Change Control, Configuration Management and Change Management, it is important for the project to define these terms so that project staff have a common understanding of these terms. Per PMBOK Section 4.5, "Configuration Control is focused on the specification of both the deliverables and the processes while change control is focused on identifying, documenting and controlling changes to the project and the project baselines." In lay person terms, Change Control deals with anything that can potentially change project scope, schedule or resources (money or staff time). Configuration Control, defined by IEEE standard 828-2005, primarily deals with defining and tracking configuration items. Change Management, as used by the project team, is unrelated to either Change Control nor Configuration Management, and refers to organizational change. Figures B1 and B2 in Appendix B present diagrams that

provides examples of the differences between how the project defines Change Control, Configuration Management and Change Management.

2.3 Approval Authority

The escalation path for approval of change requests is (1) the Project Director, (2) the Project Sponsor and (3) the Steering Committee. The decision of what level should approve a change request will be at the discretion of the Project Director.

2.4 Change Control Board Meeting and Voting

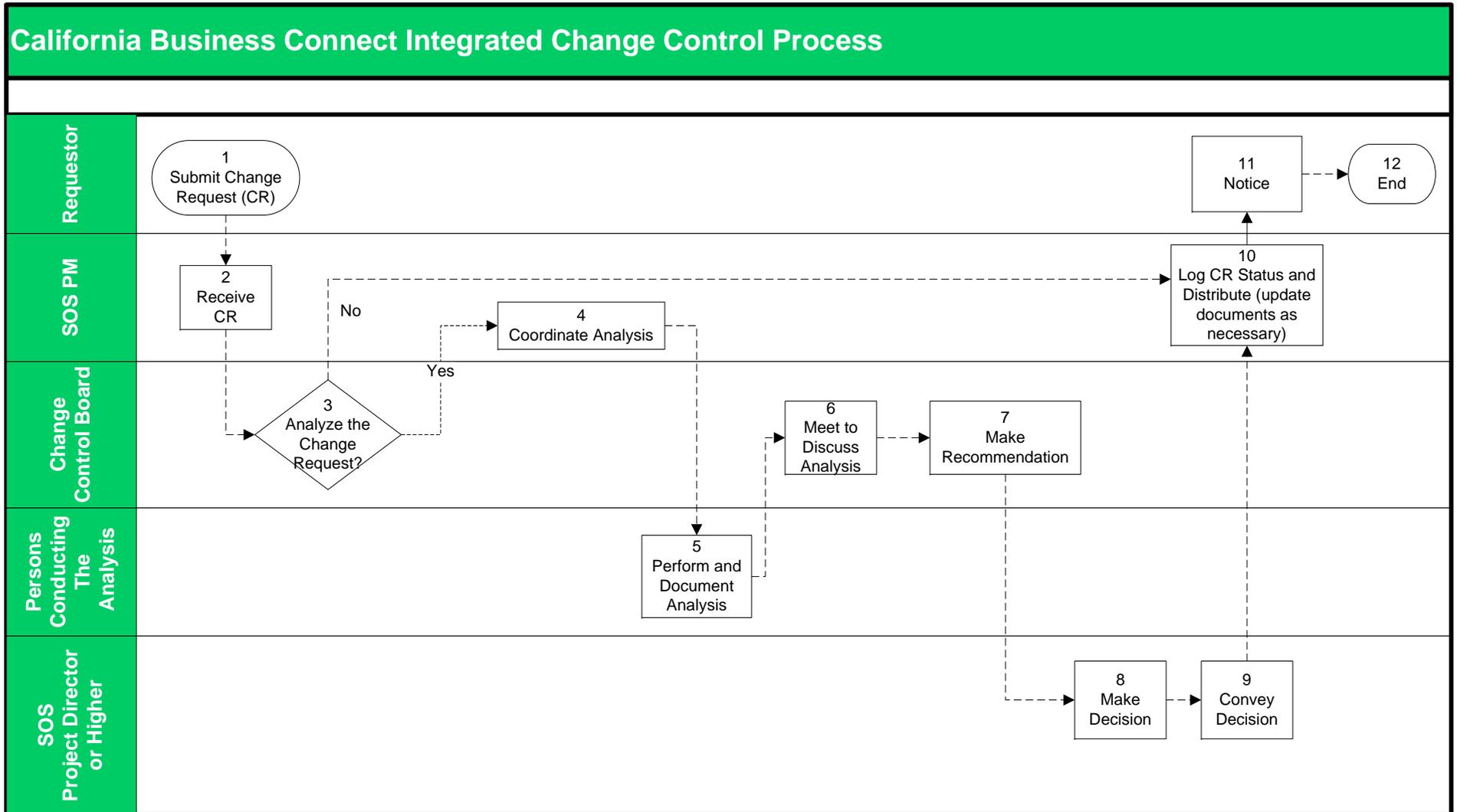
The Change Control Board will be led by the Secretary of State Project Manager, and the members will include three Secretary Of State Business Programs Division Managers and one Information Technology Division (ITD) Manager. The System Integration Contractor project manager will attend and provide input as necessary but not vote.

2.5 Change Control Process Flow

2.5.1 Process Diagram

Figure 2-1 presents the process diagram that depicts the California Business Connect Project integrated change control process.

Figure 2-1 – California Business Connect Integrated Change Control Process



2.5.2 Process Step Descriptions

This section presents the process step descriptions for the process diagram from Figure 2-1.

#	Step Title	Description	Responsible Parties
1	Submit Change Request (CR)	A change request is submitted to Secretary Of State via hardcopy form or electronically via e-mail.	Any project team member
2	Receive the Change Request (CR)	The Secretary Of State Project Manager reviews the change request to determine whether the submitted change request reflects a new and unique request, and logs the change request into the change request tool. The Secretary Of State Project Manager produces and distributes (electronic or hardcopy) the change request for review to the Change Control Board and Contractor, if appropriate.	SOS Project Manager
3	Decide whether to Analyze the Change Request	Determine if the Change Request will be analyzed, and if yes, who will do the analysis	Change Control Board
4	Coordinate the Analysis		SOS Project Manager
5	Perform and Document the Analysis	<p>This process represents the analysis of the change request. The change request is analyzed for a variety of elements including:</p> <ul style="list-style-type: none"> ▪ Impact to work plan (budget/ schedule/ other) ▪ Evaluation of risk items associated with the change request proposal ▪ Impact on customers and users ▪ Dependencies and/or conflicts ▪ Impact on other pending and scheduled change requests ▪ The proposed revised schedule to implement the change ▪ Recommendation ▪ Alternatives to the recommendation 	Persons Conducting the Analysis
6	Meet to Discuss the Analysis	This process represents the Change Control Board members meeting to discuss the results of the change request analysis. The Change Control Board may include other parties as necessary.	Change Control Board
7	Make a Recommendation	<p>This process represents the Change Control Board members making the recommendation of whether or not the change request should be approved for implementation. If the recommendation is to implement the change, a proposed revised schedule (if any) will be included with the recommendation.</p> <p>The recommendation is the result of a vote by the Change Control Board. A possible outcome is that the Change Control Board recommends additional</p>	Change Control Board

#	Step Title	Description	Responsible Parties
		analysis be done.	
8	Make a Decision	This step reflects the decision, by the appropriate level (either the Change Control Board, the Secretary Of State Project Director, Secretary Of State Project Sponsor, or the Project Steering Committee) of whether or not to approve and implement the change request.	Project Director
9	Convey the Decision	This reflects the communication of the decision back to the Secretary Of State Project Manager via the Secretary Of State Project Director.	Project Director
10	Log CR Status and Distribute (update documents as necessary)	The Secretary Of State Project Manager updates the status of the change request to the existing change request tool change request record. The change request is distributed to the parties responsible for conducting the change request analysis. Affected documents are updated.	SOS Project Manager
11	Notice	The Secretary Of State Project Manager notifies the requestor of the status of the change request they submitted	SOS Project Manager
12	End	This step depicts the process endpoint(s)	N/A

3. Change Control Tools

The California Business Connect Project will utilize two primary tools to manage the change control process. First, a form will be used for the California Business Connect Team to document the change request in a systematic manner. Second, a change control log will be used to track the change requests. The System Integration Contractor and Secretary Of State Project Managers will work together as necessary to refine the required change control fields/data elements.

4. Roles and Responsibilities

4.1 Requestor

The requestor is the person that has requested a change to the California Business Connect Project. The requestor submits the change request form and initiates the change control process for the request. The requestor can be anyone from the project team, contractor or government employee.

4.2 Secretary Of State Project Manager

The Secretary Of State Project Manager is the person primarily responsible for managing the change control process.

4.3 Change Control Board

The Change Control Board:

- Makes the decision to reject or accept submitted change requests for further consideration
- Determines who will be conduct the analysis
- Reviews the output of the analysis
- Makes recommendation for approval/disapproval to the Project Director.

The Change Control Board will normally meet every two weeks, and also at the discretion of the Project Director.

4.4 System Integration Contractor Project Manager

The System Integration Contractor Project Manager is responsible for supporting the Change Control Board in analysis of change requests.

4.5 Persons Responsible for Analysis

When the Change Control Board determines a change request is worthy of further analysis, they will determine who will be involved in the task of analyzing the change request. Both Secretary Of State and Contractor staff may be asked to participate in the change request analysis process. Analysis will normally be completed within 5 business days, but could be shortened or lengthened at the discretion of the Project Director.

4.6 Secretary Of State Project Director

The Secretary Of State Project Director is responsible for approving or disapproving change requests. When appropriate, the Project Director will escalate the decision to the Secretary Of State Project Sponsor or the Project Steering Committee.

Appendix A – Change Request Form

CALIFORNIA BUSINESS CONNECT CHANGE REQUEST FORM

PART A. (To be completed by the Project Manager)

Submission Date:	
Change Control Number:	
Final Priority:	<input type="checkbox"/> High <input checked="" type="checkbox"/> Medium <input type="checkbox"/> Low

PART B. (To be completed by the Originator of the Change Request)

Requested by:		Requestor Email:	
Requestor Organization:		Request Date:	
Requestor Telephone:			
Proposed Priority:	<input type="checkbox"/> High <input checked="" type="checkbox"/> Medium <input type="checkbox"/> Low		

Title of Proposed Change:

Proposed Change Description

Reason for the Change (business or technical justification)

PART C. (To be completed by the Assigned Project Team Member)

Description of Solution and Impact (e.g., number of screens affected, database changes, what is NOT included)

Affected Project Workplan Components

Workplan Component	Duration (Work Hours)	Cost
Analysis		\$
Design		\$
Build/Install		\$
Documentation/Manuals		\$
Test (Unit/System/SIT/Performance)		\$
Training		\$
Project Management		\$
Total Impact (hours and cost)		\$

Total Impact to Cost (Include workplan costs plus other costs)

Other Project Impacts

Impact to Scope

Impact to Schedule

Final Recommendation

Impact	Area(s) Impacted
<input type="checkbox"/> Very High <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> Scope <input type="checkbox"/> Cost <input type="checkbox"/> Schedule <input type="checkbox"/> Quality

REVIEWERS

Change Control Board

Name	Recommendation	Signature
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	No voting authority

Project Director

Name	Decision	Signature
Betsy Bogart	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	

California Business Connect Steering Committee

Name	Decision	Signature
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	<only if escalated>
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	<only if escalated>
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	<only if escalated>
	<input type="checkbox"/> Appr <input type="checkbox"/> Reject <input type="checkbox"/> Defer	<only if escalated>

Project Manager

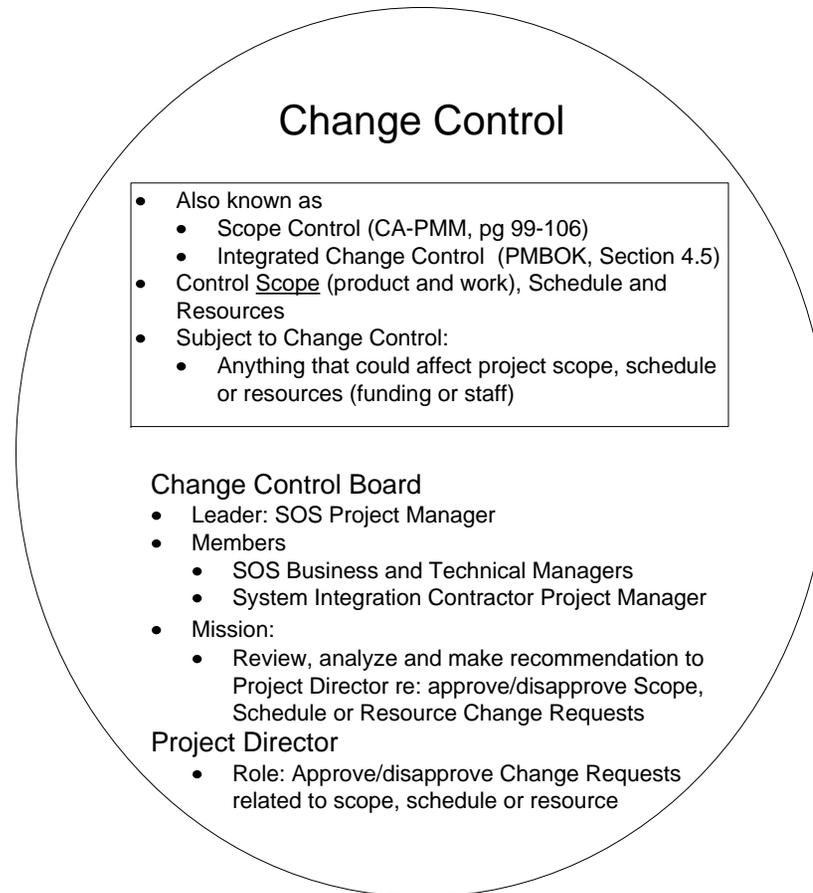
Signature	Date

Results

<input type="checkbox"/> Approved <input type="checkbox"/> Rejected <input type="checkbox"/> Defer Until: _____

Appendix B – Definitions

Figure B1. Change Control



Note: “Change Management”, as defined by the California Business Connect Project, is not part of either Change Control nor Configuration Management.
“Change Management refers to managing organizational change

Figure B2. Examples of: Change Management vs Change Control vs Configuration Management

